

● PRINTER RUSH ●
(PTO ASSISTANCE)

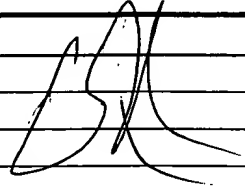
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| Application : <u>09/859647</u> | Examiner : <u>Font</u> | GAU : <u>2883</u> |
| From: <u>PRP</u> | Location: <u>(IDC) FMF FDC</u> | Date: <u>6/30/05</u> |
| Tracking #: <u>06039575</u> | | Week Date: <u>11/15/04</u> |

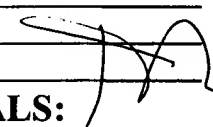
| DOC CODE | DOC DATE | MISCELLANEOUS |
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| <input checked="" type="checkbox"/> 1449 | <u>10/28/2004</u> | <input type="checkbox"/> Continuing Data |
| <input type="checkbox"/> IDS | _____ | <input type="checkbox"/> Foreign Priority |
| <input type="checkbox"/> CLM | _____ | <input type="checkbox"/> Document Legibility |
| <input type="checkbox"/> IIFW | _____ | <input type="checkbox"/> Fees |
| <input type="checkbox"/> SRFW | _____ | <input type="checkbox"/> Other |
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[RUSH] MESSAGE: Please provide a clearer copy of
1449 of 10/28/2004. Data is illegible.

Thank you.

[XRUSH] RESPONSE: _____



INITIALS: 

NOTE: This form will be included as part of the official USPTO record, with the Response document coded as XRUSH.
REV 10/04

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
053168-5005

SERIAL NO.
Not yet known

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)

APPLICANT
Shrenik Deliwala

FILING DATE
May 17, 2001

GROUP
Not yet known

(37 C.F.R. § 1.98(b))

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|---|---------------|---|---|---|---|---|---|---------------|------------------|-------|----------|-------------------------------|
| C.P. | A | 6 | 1 | 7 | 7 | 6 | 8 | 5 | 01/01 | Teraguchi et al. | | | |
| C.P. | B | 6 | 1 | 8 | 8 | 8 | 1 | 8 | 02/01 | Han et al. | | | |
| C.P. | C | 6 | 1 | 6 | 6 | 8 | 4 | 6 | 12/00 | Maloney | | | |
| C.P. | D | 6 | 0 | 7 | 5 | 9 | 0 | 8 | 06/00 | Paniccia et al. | | | |
| C.P. | E | 6 | 1 | 2 | 2 | 4 | 1 | 9 | 09/00 | Kurokawa | | | |
| C.P. | F | 5 | 8 | 6 | 4 | 6 | 4 | 2 | 01/99 | Chun et al. | | | |
| C.P. | G | 5 | 8 | 7 | 2 | 3 | 6 | 0 | 02/99 | Paniccia et al. | | | |
| C.P. | H | 5 | 8 | 3 | 5 | 6 | 4 | 6 | 11/98 | Yishimura et al. | | | |
| C.P. | I | 5 | 6 | 9 | 6 | 8 | 6 | 2 | 12/97 | Hauer et al. | | | |
| C.P. | J | 4 | 6 | 7 | 7 | 7 | 8 | 3 | 07/87 | Cratsa | | | |
| C.P. | K | 5 | 6 | 3 | 8 | 4 | 6 | 9 | 06/97 | Feldman et al. | | | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| | | DOCUMENT NUMBER | | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | |
|--|--|-----------------|--|--|--|--|--|--|---------------------|-----------------------------|-------|----------|-------------|----|
| | | | | | | | | | | | | | YES | NO |
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|------|---|---|
| C.P. | L | Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000. |
| C.P. | M | Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994. |
| C.P. | N | Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000. |
| C.P. | O | Robert Shi and Tomasz Jansson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing - Micro-optics, Artech House, pp. 141-225. |
| C.P. | P | Amalia N. Miliou et al., A 1.3 μ m Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993. |
| C.P. | Q | Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994. |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
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(37 C.F.R. § 1.98(b))

APPLICANT
Shrenik Deltwala

FILING DATE

GROUP
Not yet known

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|----|---------------|---|---|---|---|---|---|---------------|---------------------|-------|----------|-------------------------------|
| G.P. | R | 5 | 6 | 2 | 9 | 8 | 3 | 8 | 05/97 | Knight et al. | | | |
| C.P. | S | 5 | 6 | 2 | 5 | 7 | 2 | 9 | 04/97 | Brown | | | |
| C.P. | T | 5 | 6 | 2 | 5 | 6 | 3 | 6 | 04/97 | Bryan et al. | | | |
| C.P. | U | 5 | 6 | 0 | 5 | 8 | 5 | 6 | 02/97 | Goosen et al. | | | |
| C.P. | V | 5 | 5 | 6 | 8 | 5 | 7 | 4 | 10/96 | Tanguay, Jr. et al. | | | |
| C.P. | W | 5 | 5 | 0 | 2 | 7 | 7 | 9 | 03/96 | Magel | | | |
| C.P. | X | 5 | 4 | 8 | 5 | 0 | 2 | 1 | 01/96 | Abe | | | |
| C.P. | Y | 5 | 4 | 3 | 4 | 4 | 3 | 4 | 07/95 | Kasahara et al. | | | |
| C.P. | Z | 5 | 4 | 3 | 2 | 6 | 3 | 0 | 07/95 | Lebby et al. | | | |
| C.P. | AA | 5 | 4 | 0 | 0 | 4 | 1 | 9 | 03/95 | Heinen | | | |
| C.P. | BB | 5 | 1 | 9 | 8 | 6 | 8 | 4 | 03/93 | Sudo | | | |

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| | | DOCUMENT NUMBER | | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | |
|--|--|-----------------|--|--|--|--|--|--|---------------------|-----------------------------|-------|----------|-------------|----|
| | | | | | | | | | | | | | YES | NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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DATE CONSIDERED

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
053168-5005

SERIAL NO.
Not yet known

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)

APPLICANT
Shrenik Deliwala

FILING DATE

GROUP
Not yet known

(37 C.F.R. § 1.98(b))

U.S. PATENT DOCUMENTS

| EXAMINER R. INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|------------------------|----|---------------|---|---|---|---|---|---|---------------|-----------------------|-------|----------|-------------------------------|
| C.P. | CC | 5 | 1 | 5 | 9 | 7 | 0 | 0 | 10/92 | Reid, deceased et al. | | | |
| O.P. | DD | 5 | 1 | 5 | 3 | 7 | 7 | 0 | 10/92 | Harris | | | |
| C.P. | EE | 5 | 0 | 6 | 1 | 0 | 2 | 7 | 10/91 | Richard | | | |
| C.P. | FF | 4 | 9 | 6 | 6 | 4 | 3 | 0 | 10/90 | Weidel | | | |
| C.P. | GG | 4 | 9 | 3 | 9 | 7 | 9 | 3 | 07/90 | Stewart | | | |
| C.P. | HH | 4 | 9 | 1 | 7 | 4 | 5 | 0 | 04/90 | Pocholle | | | |
| C.P. | II | 4 | 8 | 7 | 1 | 2 | 2 | 4 | 10/89 | Karstensen | | | |
| C.P. | JJ | 4 | 8 | 6 | 5 | 4 | 2 | 7 | 09/89 | Kingston et al. | | | |
| C.P. | KK | 4 | 7 | 6 | 1 | 6 | 2 | 0 | 08/88 | Bar-Joseph et al. | | | |
| C.P. | LL | 4 | 7 | 5 | 8 | 0 | 9 | 2 | 07/88 | Heinrich et al. | | | |
| C.P. | MM | 4 | 6 | 9 | 5 | 1 | 2 | 0 | 09/87 | Holder | | | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| | | DOCUMENT NUMBER | | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | |
|--|--|-----------------|--|--|--|--|--|--|---------------------|-----------------------------|-------|----------|-------------|----|
| | | | | | | | | | | | | | YES | NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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PTO/SB/03A (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
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|---|------------------------|----------------------|---------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Application Number | 09/059,647 |
| | | Filing Date | 05/17/2001 |
| | | First Named Inventor | Delgado |
| | | Art Unit | 2878 |
| | | Examiner Name | Not yet known |
| Sheet 1 of 1 | Attorney Docket Number | 053168-5005 | |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------------------|--------------------------|-----------------|-----------------------------------|--------------------------------|--|---|
| Examiner Initials ¹ | Cite No. ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| C.P. | A | US- | 5,890,491 | 03-09-1999 | Soret et al. | |
| C.P. | B | US- | 4,728,167 | 03-01-1986 | Soret et al. | |
| C.P. | C | US- | 4,261,630 | 04-14-1981 | Wagner | |
| C.P. | D | US- | 5,875,271 | 02-23-1999 | Langhlin | |
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| C.P. | F | US- | 5,841,716 | 11-24-1998 | Langhlin | |
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| C.P. | I | US- | 6,163,632 | 12-19-2000 | Rikonen et al. | |
| C.P. | J | US- | 5,444,567 | 08-22-1995 | Kataoka | |
| C.P. | K | US- | 5,652,681 | 07-24-1997 | Cheng et al. | |
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| C.P. | M | US- | 6,259,841 | 07-10-2001 | Bhagavathula | |
| C.P. | N | US- | 6,118,911 | 09-12-2000 | Bennett et al. | |
| C.P. | O | US- | 6,049,639 | 04-11-2000 | Pariccia et al. | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | |
|--------------------------|-------------|---------------------------|---|--------------------------------|--|---|----------------|
| Examiner Initials | Cite No. | Foreign Patent Document | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ³ |
| | | Country Code ¹ | Number ⁴ - Kind Code ⁵ (if known) | | | | |
| C.P. | P | WO | 99/49451 - A1 | 02-25-1999 | Adams Precision | | |
| | Q | WO | 00/49451 - A1 | 08-24-2000 | Bookham Tech. | | |
| | R | WO | 99/60433 - A1 | 11-25-1999 | Bookham Tech. | | |
| | S | WO | 99/34405 - A1 | 07-08-1999 | Bookham Tech. | | |
| | T | WO | 01/50166 - A1 | 07-12-2001 | Bookham Tech. | | |
| | U | WO | 01/67172 - A1 | 09-13-2001 | Bookham Tech. | | |
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|-----------------------|--|--------------------|---------|
| Examiner Signature | | Date Considered | 9/13/04 |
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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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|------------------------|---------------|
| Application Number | 09/854 647 |
| Filing Date | May 17, 2001 |
| First Named Inventor | S. DeWala |
| Art Unit | 2870 |
| Examiner Name | Not yet known |
| Attorney Docket Number | 053168-5005 |

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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**Examiner
Signature**

Date Considered

9/13/04

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